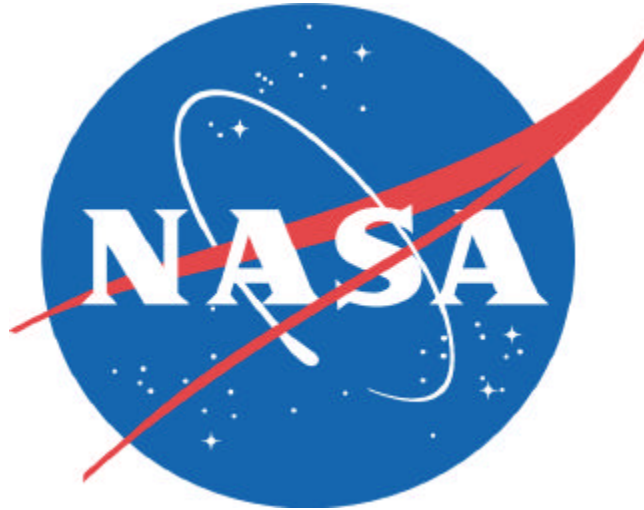


Responsible Office: NASA Office of Equal Opportunity Programs
Subject: OEOP Solicitation Development, Proposal Peer Review, Selection and Award Process



Office of Equal Opportunity Programs
Minority University Research and Education Division

Office Work Instruction

OEOP Solicitation Development, Proposal Peer Review, Selection and Award Process

Approved by: _____ original signed by _____
George E. Reese
Associate Administrator
Office of Equal Opportunity Programs

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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		1-19-00	
Revision	A	5-02-00	Revisions made based on systemic analysis of ISO 9001 Registrar comments during February 2000 ISO 9001 Registrar precertification audit of NASA Headquarters Functional Offices. Specifically, 6.13 amended to specify minimum of three peer reviews per proposal; and in Section 7 amended records retention/disposition.

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1. Purpose

This OWI describes processes used by the NASA Office of Equal Opportunity Programs (OEOP), Minority University Research and Education Division (MURED) to issue solicitations that target Historically Black Colleges and Universities (HBCUs) and Other Minority Universities (OMUs), conduct peer reviews, make the merit selection of proposals for award, and assign grants management responsibility.

2. Scope and Applicability

- 2.1 This OWI applies to the development of a solicitation, proposal peer review, selection and award processes resulting from the approved Minority University Research and Education Program (MUREP) Budget outlined in HOWI-7410-E007. Solicitations apply to NASA Research Announcements (NRAs).
- 2.2 Consistent with NHB 1101.3 Section 404, this OWI applies to all NASA policies and procedures concerning institutions of higher education designated by the Department of Education as HBCUs and OMUs.

3. Definitions





- 3.1 Conflict of Interest (COI). Certification submitted by peer reviewers prior to receiving proposals for review declaring that they have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with NRA proposers or their institutions.
- 3.2 EEHA. Educational Excellence for Hispanic Americans
- 3.3 EO. Executive Order.
- 3.4 GSFC. Goddard Space Flight Center
- 3.5 HBCUs. Historically Black Colleges and Universities.
- 3.6 Mail and Panel Peer Review Proposals are mailed consistent with 3.7 and a panel is convened consistent with 3.20.
- 3.7 Mail Peer Review. Subject matter experts who are mailed the proposals and evaluation forms conduct reviews. Each proposal is reviewed for strengths and weaknesses in accordance with the evaluation criteria established in the solicitation. Subject matter experts evaluate the strengths and weaknesses of the proposals submitted in response to an NRA. Evaluation forms are then mailed back to NASA.
- 3.8 MURED. Minority University Research and Education Division.
- 3.9 MURED DD. MURED Division Director

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| 3.10 | <u>MURED UPS.</u> | MURED University Program Specialist responsible for submitting input into reports and plans |
| 3.11 | <u>NASA White House Plans and Reports.</u> | Reports and plans developed annually in response to the White House EO 12876, 12900, and 13021 (see Section 4.0 for full citation) |
| 3.12 | <u>Notice of Intent (NOI).</u> | A notice or letter from a potential investigator submitted by mail, web, or email indicating the intent to submit a proposal in response to an NRA. |
| 3.13 | <u>NRA.</u> | NASA Research Announcement. |
| 3.14 | <u>NSFAR.</u> | NASA Supplementary Federal Acquisition Regulations. |
| 3.15 | <u>OEOP.</u> | Office of Equal Opportunity Programs. |
| 3.16 | <u>OEOP AA or DAA.</u> | OEOP Associate Administrator or OEOP Deputy Associate Administrator. |
| 3.17 | <u>OEOP FLP.</u> | OEOP Functional Leadership Plan. |
| 3.18 | <u>OMUs.</u> | Other Minority Institutions, including Hispanic Serving Institutions and Tribal Colleges and Universities. |
| 3.19 | <u>PA.</u> | MURED Program Assistant, responsible for providing clerical assistance for the preparation of procurement packages and financial documents. |
| 3.20 | <u>Panel Peer Review.</u> | A review conducted by a panel of subject matter experts who evaluate the strengths and weaknesses of proposal submitted in response to an NRA. The proposals are rated in accordance with the evaluation criteria described in the NRA and the panel gives a team summary. |
| 3.21 | <u>Procurement Package.</u> | A package consisting of the documents to process a proposal for funding: selection letter, original proposal, technical evaluation, financial documentation, and a disposition letter. |
| 3.22 | <u>Qualified Peer Reviewer(s).</u> | A reviewer with background, credentials, and expertise in the subject matter of the proposals |
| 3.23 | <u>Site Visit.</u> | A visit to a proposing institution by NASA for the purpose of further evaluating the proposal, obtaining clarification of items in the proposal or acquiring additional information. |
| 3.24 | <u>Solicitation Initiator (SI).</u> | NASA employee designated by the Director of MURED to staff and manage the solicitation development and release, establish peer review procedures, provide oversight and guidance to peer reviewers, and provide prioritization of proposals based on peer review results. |
| 3.25 | <u>TCU.</u> | Tribal Colleges and Universities. |
| 3.26 | <u>WHIO.</u> | White House Initiative Office. |

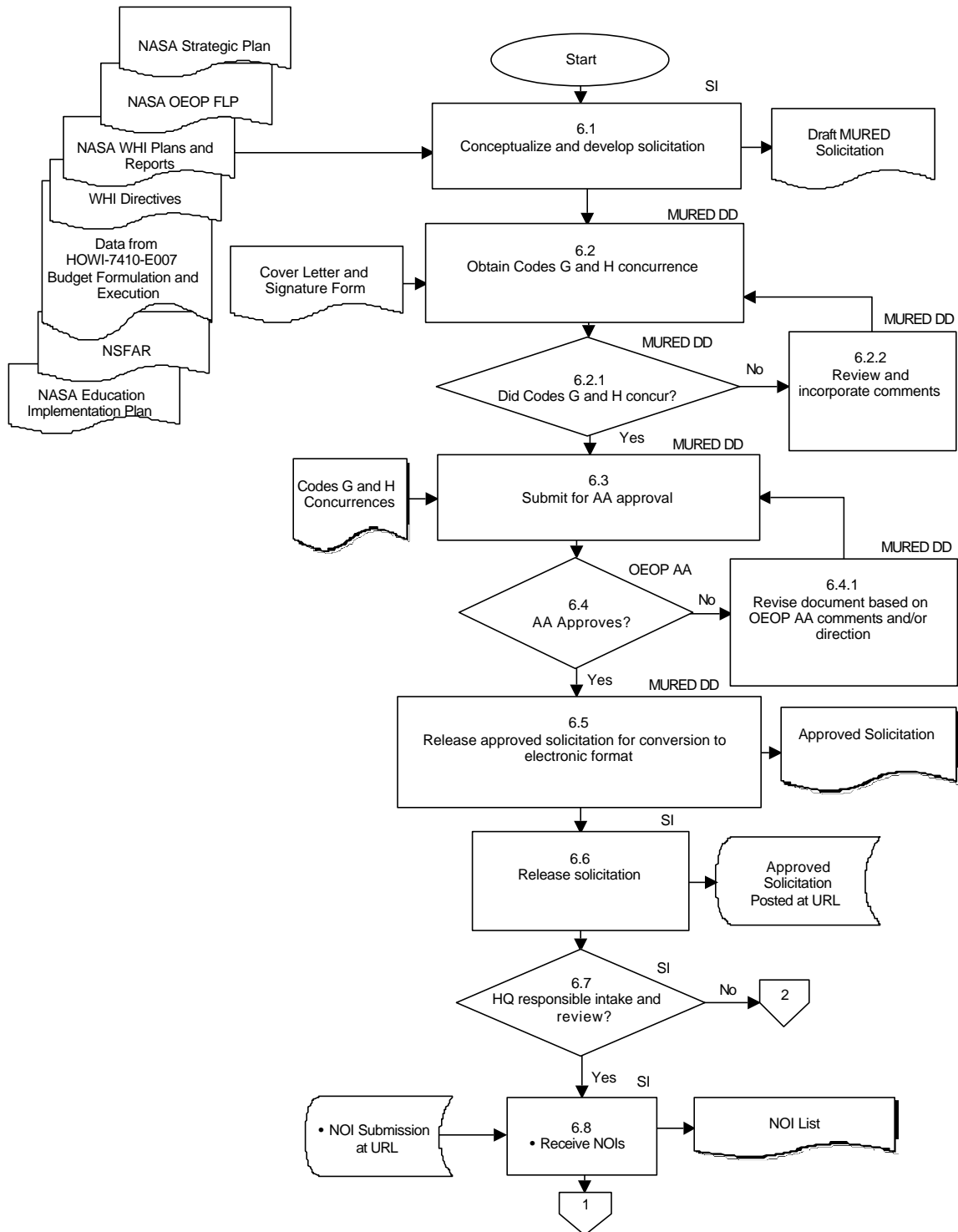
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4. References

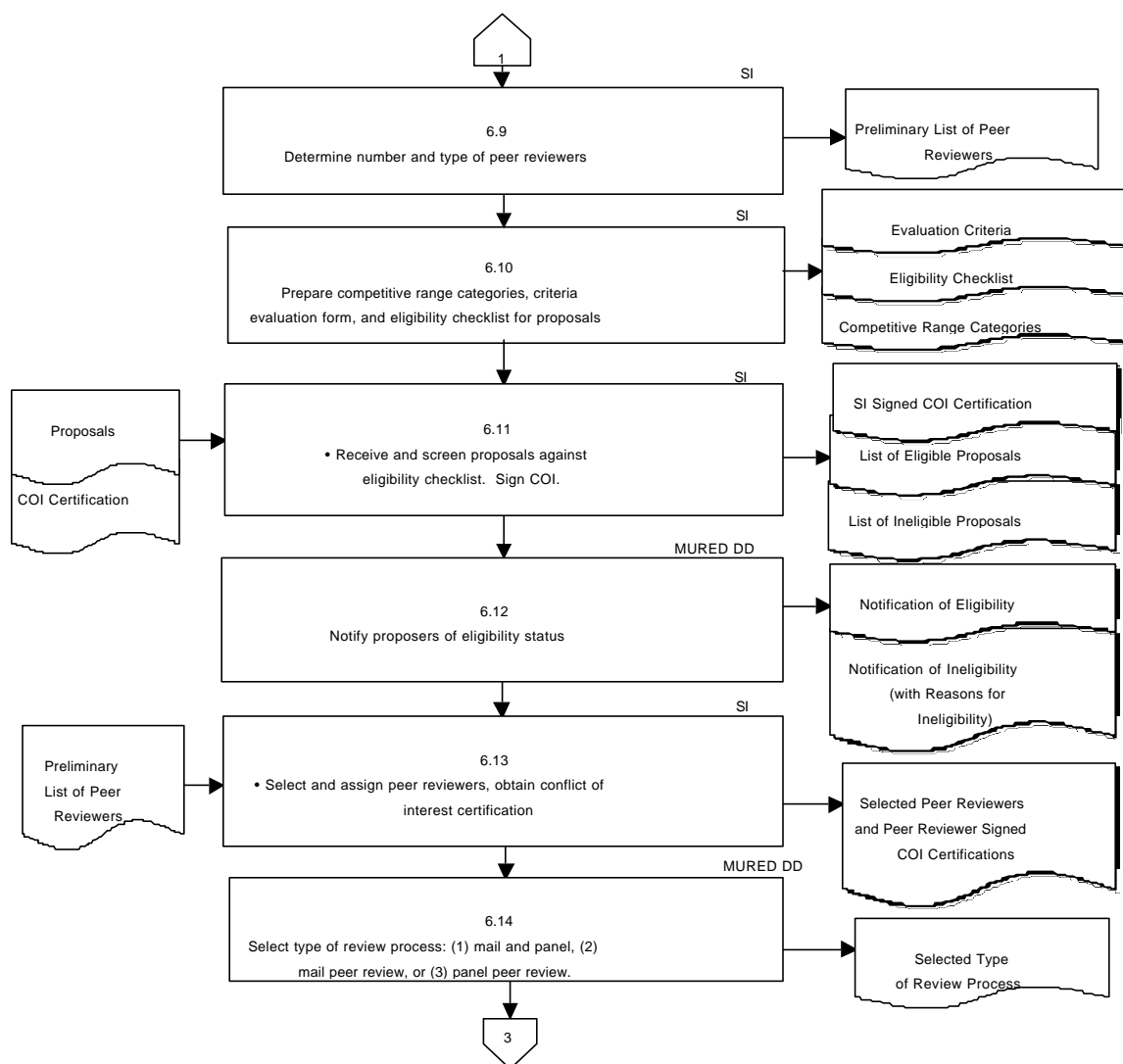
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| 4.1 | EO 12876 | Executive Order on Historically Black Colleges and Universities |
| 4.2 | EO 12900 | Executive Order on Educational Excellence for Hispanic Americans |
| 4.3 | EO 13021 | Executive Order on Tribal Colleges and Universities |
| 4.4 | NPD 1000.1 | NASA Strategic Plan |
| 4.5 | NPG 1000.2 | NASA Strategic Management Handbook |
| 4.6 | NHB 1101.3 | The NASA Organization |
| 4.7 |  | OEOP Functional Leadership Plan |
| 4.8 |  | NASA White House Initiative HBCU Plan |
| 4.9 |  | NASA White House Initiative EEHA Plan |
| 4.10 |  | NASA White House Initiative TCU Plan |
| 4.11 |  | NASA White House Initiative HBCU Report |
| 4.12 |  | NASA White House Initiative EEHA Report |
| 4.13 |  | NASA White House Initiative TCU Report |
| 4.14 |  | NASA Supplementary Federal Acquisition Regulations |
| 4.15 | | NASA Education Implementation Plan |

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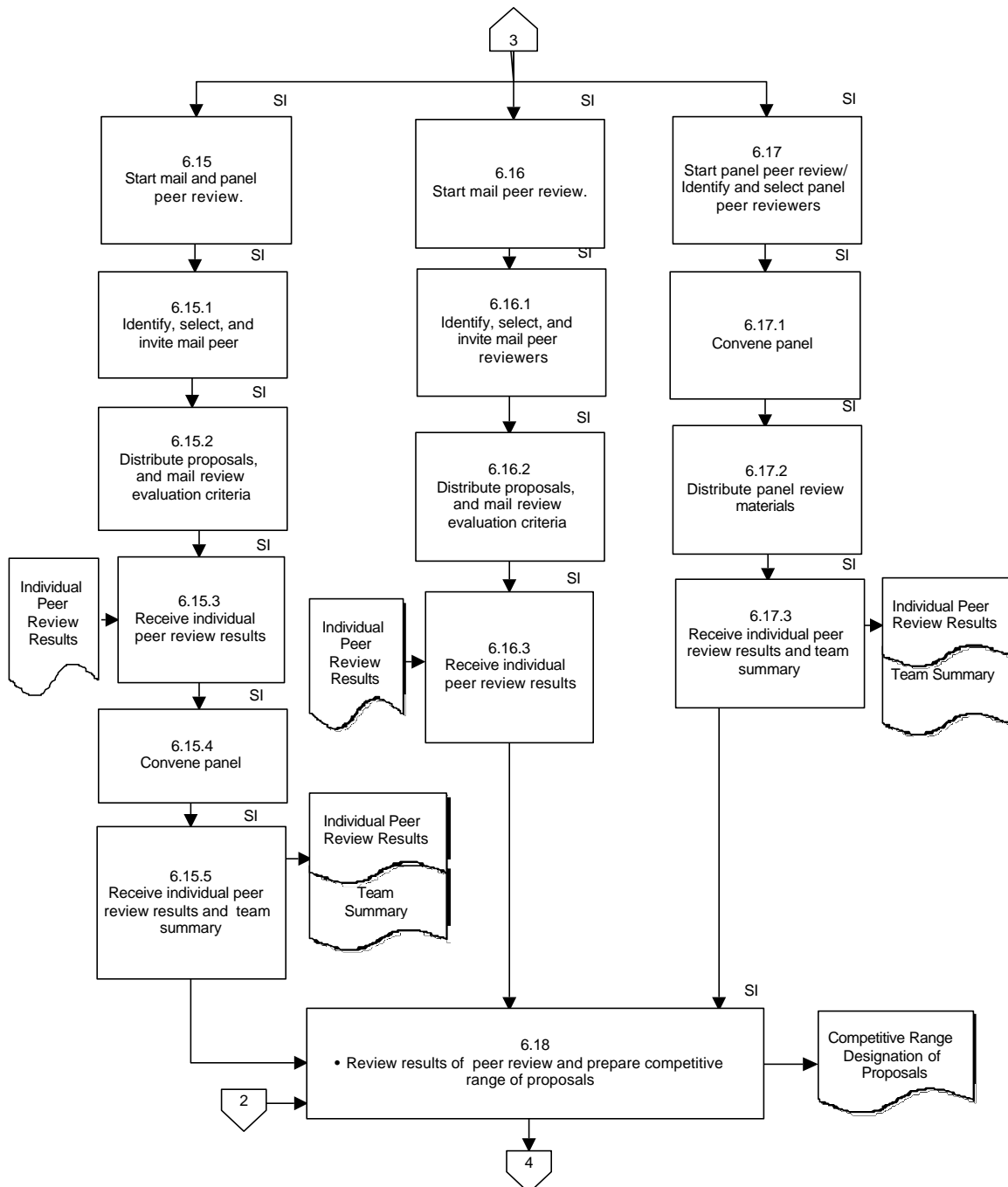
5. Flowchart



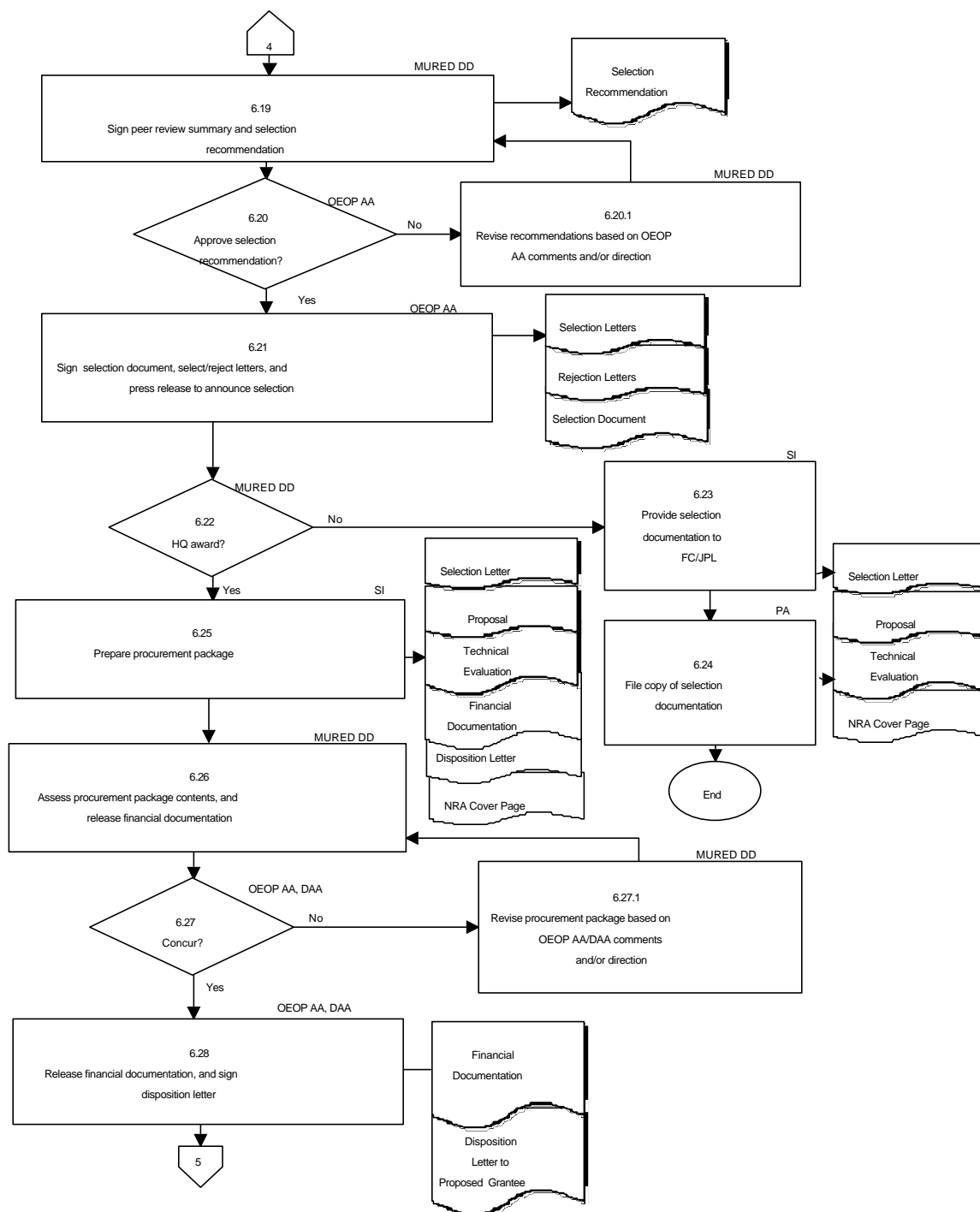
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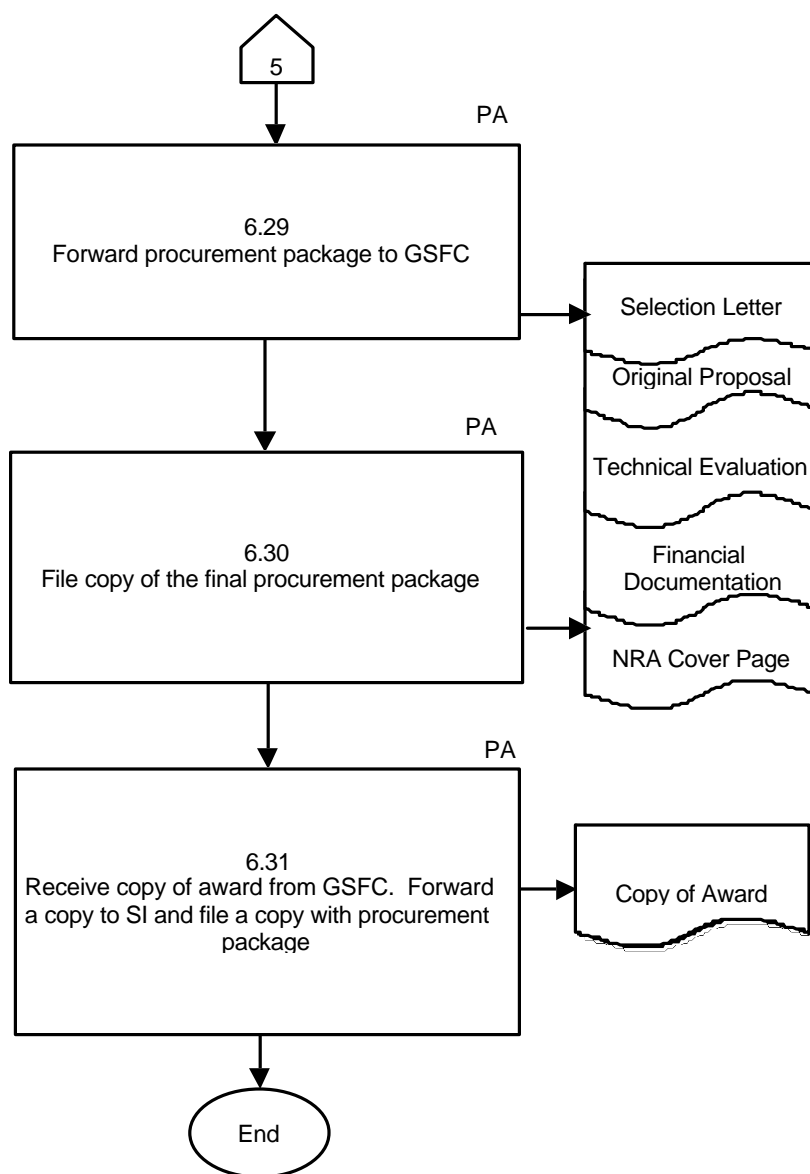
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6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	SI	Using the NASA strategic plan, OEOP FLP, the education implementation plan, WHI plans, reports, directives and budget data, and NSFAR, formulate the purpose, goals, objectives, and outcomes. Develop the draft solicitation.
6.2	MURED DD	Submit the solicitation and signature form to Codes G and H for their review and concurrence.
6.2.1	MURED DD	Determine whether Codes G and H concurred. If they did, go to 6.3. If they didn't, go to 6.2.2.
6.2.2	MURED DD	Review and incorporate Code(s) G and/or H comments.
6.3	MURED DD	Submit solicitation with Codes G and H concurrences for AA approval.
6.4	OEOP AA	Submit the draft solicitation to OEOP AA for approval. If solicitation is approved, go to 6.5. If solicitation is not approved, go to 6.4.1.
6.4.1	MURED DD	Revise document based on OEOP AA comments and/or direction.
6.5	MURED DD	Release the approved solicitation to SI for posting on Inside MURED restricted web page to ensure conversion to electronic format.
6.6	SI	Approve solicitation for release to the MURED non restricted webpage.
6.7	SI	Determine if HQ is responsible to receive proposals and review. If no, go to 6.18. If yes, go to 6.8.
6.8	SI	Receive Notice of Intent from potential Principal Investigators indicating intent to submit proposal in response to solicitation. The NOI list includes institution name, Principal Investigator, and proposal title.
6.9	SI	Using the information submitted via the NOI, determine the number and type of peer reviewers needed to review the proposals, develop preliminary list of peer reviewers.
6.10	SI	Prepare the proposal eligibility checklist, the evaluation form based on the evaluation criteria given in the solicitation, and the competitive range categories. The ratings and weights assigned to the criteria are used to compute scores for determining the competitive range.
6.11	SI	Receive the proposals, and screen against the proposal eligibility checklist to determine eligibility or ineligibility. Sign COI.
6.12	MURED DD	Notify the proposers of eligibility status.
6.13	SI	Once eligible proposals are determined, select minimum of three peer reviewers per proposal, obtain originally signed COI from proposed peer reviewers, and review

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- COI to determine apparent and/or perceived COI before assigning proposals to eligible peer reviewers for evaluation.
- 6.14 MURED DD Select type of review process: (1) mail and panel, (2) mail, or (3) panel, based on availability of reviewers, time by which the process has to be completed, and complexity of material being reviewed. If the review is mail and panel peer review, go to 6.15. If the review is mail peer review, go to 6.16. If the review is panel review, go to 6.17.
- 6.15 SI Start mail and panel peer review.
- 6.15.1 SI Identify, select and invite available peer reviewers to review the proposals.
- 6.15.2 SI Mail proposals and evaluation instrument to peer reviewers.
- 6.15.3 SI Receive individual peer review results.
- 6.15.4 SI Convene the panel of reviewers and develop team summaries. Teams are made up of reviewers who read the same proposals. Reviewers sign their individual reviews and team summaries.
- 6.15.5 SI Receive individual peer review results and team summary.
- 6.16 SI Start mail peer review.
- 6.16.1 SI For mail peer review, identify available and qualified peer reviewers, and select the reviewers who will review the proposals via mail.
- 6.16.2 MURED DD Mail proposals, solicitations, and evaluation instrument to peer reviewers, along with instructions for reviewing.
- 6.16.3 SI Receive individual peer review results.
- 6.17 SI Start panel peer review. Identify available and qualified peer reviewers, and select the panel of reviewers. Extend invitations to reviewers by letter or email.
- 6.17.1 SI Convene the panel of reviewers .
- 6.17.2 SI Distribute panel review materials, including proposals, evaluation instrument, guidelines, and solicitation.
- 6.17.3 SI Receive individual peer review results and team summary. Peer reviewers read assigned proposals, submit individual evaluation, and develop and submit team summary evaluations. Reviewers sign individual evaluations and team summaries.
- 6.18 SI Review Peer Review results, sort proposals using the competitive range established in 6.10, and forward to MURED DD.
- 6.19 MURED DD Review results; prepare and present selection recommendation decision to OEOP AA.
- 6.20 OEOP AA Decide whether to approve the selection

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- recommendation. If the recommendation is approved, go to 6.21. If the recommendation is not approved, go to 6.20.1.
- 6.20.1 MURED DD Revise recommendations based on OEOP AA comments and/or directions, and resubmit for OEOP AA approval (see 6.19).
- 6.21 OEOP AA Sign selection recommendation, selection/rejection letters, and approve draft press release to announce selections. Selection letters are sent to the President and rejection letters to the University Official who submitted the proposals.
- 6.22 MURED DD If HQ award, go to 6.25. If not HQ award, go to 6.23.
- 6.23 SI If not an HQ award, provide selection documentation to FC/JPL. The selection documentation includes the selection letter, the original proposal, technical evaluation, and NRA cover page.
- 6.24 PA File copy of selection documentation.
- 6.25 SI If an HQ award, prepare the procurement package to be sent to the Procurement Office. The procurement package includes the selection letter, the original proposal, the technical evaluation, financial documentation, disposition letter, and NRA cover page.
- 6.26 MURED DD Assess procurement package contents, and approve and release financial documentation.
- 6.27 OEOP AA, DAA Determine whether to give concurrence on the procurement package. If concurrence is given, go to 6.28. If concurrence is not given, return to 6.27.1.
- 6.27.1 MURED DD Revise procurement package based on OEOP AA /DAA comments and/or direction, and resubmit for concurrence (see 6.26).
- 6.28 OEOP AA, DAA Approve and release the financial documentation, and sign the disposition letter.
- 6.29 PA Forward procurement package to GSFC. The procurement package includes the selection letter, the original proposal, technical evaluation, financial documentation, and NRA cover page.
- 6.30 PA File copy of the final procurement package.
- 6.31 PA Receive copy of award, and forward information copy to SI. Place a copy in the appropriate file established for the procurement package.

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/ Disposition
Codes G and H Concurrences	MURED DD	Code EU	Hard copy	Schedule 7, Item 8	Transfer all files to responsible division/project 2 years after award. Records will be incorporated into the grant/contract file.
Approved Solicitation	MURED DD	Code EU	Hard copy	Schedule 7, Item 8	Transfer all files to responsible division/project 2 years after award. Records will be incorporated into the grant/contract file.
NOI List	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Evaluation Criteria	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Eligibility Checklist	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Competitive Range Categories	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after

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					completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
SI Signed COI Certification	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly

List of Eligible Proposals	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
List of Ineligible Proposals	MURED DD	Code EU	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Notification of Eligibility	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Notification of Ineligibility (with Reasons for Ineligibility)	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Selected Peer Reviewers and Peer	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related

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Reviewer Signed COI Certifications					grant, destroy accordingly
Individual Peer Review Results	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Team Summary	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Competitive Range Designation of Proposals	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Selection Recommendation	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Selection Letters	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Rejection Letters	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.2	Retire to FRC when 1 year old. Destroy when 5 years old.
Selection Document	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Proposal	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Technical Evaluation	MURED DD	Code EU files	Hard copy	Schedule 7, Item 9.A.1	File documentation with the related grant, destroy accordingly
Financial Documentation	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.

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Disposition Letter	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.
Award	MURED DD	Code EU files	Hard copy	Schedule 5, Item 37.A.2	Retain records for 3 years after completion of grant. Records may be retired to FRC when 3 years old. Destroy 6 years after completion or close out of grant.